

## Electronic Acknowledgement Receipt

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| <b>EFS ID:</b>                              | 9438261   |
| <b>Application Number:</b>                  | 10627626  |
| <b>International Application Number:</b>    |   |
| <b>Confirmation Number:</b>                 | 4309  |
| <b>Title of Invention:</b>                  | Method and apparatus for enabling individual or smaller investors or others to create and manage a portfolio of securities or other assets or liabilities on a cost effective basis |
| <b>First Named Inventor/Applicant Name:</b> | Steven M.H. Wallman   |
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| <b>Filer:</b>                               | Brian S. Mudge  |
| <b>Filer Authorized By:</b>                 |   |
| <b>Attorney Docket Number:</b>              | 10392/460043  |
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| <b>Application Type:</b>                    | Utility under 35 USC 111(a)   |

### Payment information:

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| Submitted with Payment | no |
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### File Listing:

| Document Number | Document Description | File Name                   | File Size(Bytes)/ Message Digest                   | Multi Part /.zip | Pages (if appl.) |
|-----------------|----------------------|-----------------------------|--|------------------|------------------|
| 1               |                      | 10392-460043PrelimAmend.pdf | 264140<br>2013fe9bbc149126de4cb568f694ef1fa418ca17 | yes              | 8                |

|  | Multipart Description/PDF files in .zip description |  |       |     |
|--|---|--|-------|-----|
|  | Document Description                                |  | Start | End |
|  | Supplemental Response or Supplemental Amendment     |  | 1     | 1   |
|  | Claims  |  | 2     | 5   |
|  | Applicant Arguments/Remarks Made in an Amendment    |  | 6     | 8   |

**Warnings:**

**Information:**

|                                     |        |
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| <b>Total Files Size (in bytes):</b> | 264140 |
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**New Applications Under 35 U.S.C. 111**

If a new application is being filed and the application includes the necessary components for a filing date (see 37 CFR 1.53(b)-(d) and MPEP 506), a Filing Receipt (37 CFR 1.54) will be issued in due course and the date shown on this Acknowledgement Receipt will establish the filing date of the application.

**National Stage of an International Application under 35 U.S.C. 371**

If a timely submission to enter the national stage of an international application is compliant with the conditions of 35 U.S.C. 371 and other applicable requirements a Form PCT/DO/EO/903 indicating acceptance of the application as a national stage submission under 35 U.S.C. 371 will be issued in addition to the Filing Receipt, in due course.

**New International Application Filed with the USPTO as a Receiving Office**

If a new international application is being filed and the international application includes the necessary components for an international filing date (see PCT Article 11 and MPEP 1810), a Notification of the International Application Number and of the International Filing Date (Form PCT/RO/105) will be issued in due course, subject to prescriptions concerning national security, and the date shown on this Acknowledgement Receipt will establish the international filing date of the application.